

SUPERVISOR'S GUIDE

FOR WRITING

**CONTRIBUTION-BASED
COMPENSATION & APPRAISAL
SYSTEM**

(CCAS)

ASSESSMENTS

June 2000

Prepared by PEO C3S Human Resources Office
For the DoD Civilian Acquisition Workforce Personnel Demonstration Office
Distributed by the Army Project Office

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

1. INTRODUCTION.

Upon completion of the first Contribution-Based Compensation and Appraisal System (CCAS) evaluation process for the rating period ending 30 September 1999, it was apparent throughout DOD that Supervisors had difficulty in trying to determine how to write assessments that fully and clearly state their Employees' contributions. There appears to be a lack of understanding on what exactly is meant by "contribution," how it ties to the Position Requirements Document (PRD), how to link contribution to mission, how factors are interpreted, and what are acceptable assignments/opportunities to contribute.

In an effort to address this misunderstanding, the Army Project Office greatly appreciate the PEO C3S Human Resources Office (HRO) for developing this guide for Supervisors to use when preparing Part II Supervisor Assessment for their CCAS Employees. Following these guidelines will help ensure that the Pay Pool Panel views each Employee fairly and equitably.

The information contained in this Guide will demonstrate that Employees are to be assessed based upon the substance of their contribution and *not* on how well they described that contribution. Input from Employee's does not relieve the Supervisor of his or her responsibility to assess their subordinates' contributions. It is possible that the Supervisor may use the Employee input as it was submitted but that is left to the discretion of the individual Supervisor.

2. GETTING STARTED.

It is imperative that Supervisors understand their mission and then make sure their Employees understand that mission. Next, Supervisors should review the Employee's PRD. While the PRD may not reflect all that an individual job entails, it is meant to outline significant aspects of the job. The duty statements in the PRD should have a reasonable tie or relationship to the six factors that pertain to the career path and broadband level to which an individual is assigned. The responsibilities of many jobs will not match the factors exactly since the wording for the factors reflect contribution expectations for the highest level of the broadband. If it is found that the PRD does not, for the most part, reflect what the Supervisor requires of the Employee, serious consideration should be given to making a change. Supervisors who need copies of their Employee's PRDs, can contact their Administrative Office.

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

Supervisors should not attempt to write assessments without a copy of the factors for the broadband level to which the Employee is assigned, as well as the levels immediately above and below the one to which the Employee is assigned. For example, for an Employee at NK-II, the Supervisor will need factors for NK-I and NK-III. This information will provide a better understanding of the distinctions made between factor levels. A broadband encompasses a range of jobs with different values assigned to them. To better appreciate what the contribution range is for the assigned broadband, Supervisors must consider what contributions might fall to the levels below and above the current level. The factor descriptors of different broadbands will provide a better perspective of what kinds of contributions can be expected to be most valued by the Pay Pool Panel. Factors can be found in the Federal Register, DoD/Army Operating Procedures or local CCAS handbooks. If a hard copy is not available, the factors can be accessed from the Army Acquisition Corps home page at <http://dacm.sarda.army.mil/demo>. Appendix A will provide assistance when determining what broadband level a particular contribution meets.

If at anytime during the rating period it is determined that the contributions of an Employee fall below the medium level of the next lower broadband, Supervisors are required to place the Employee on a Contribution Improvement Plan (CIP). Supervisors are to contact their Administrative or Personnel Office for guidance on the development of a CIP.

Next, it is recommended that the Supervisors group contribution examples under each factor with little consideration of form. The first concern should be capturing the substance of what has been contributed. An Employee who contributes in line with the content of his or her PRD will be making a substantive contribution. Once the input has been gathered in this manner, it can be put in the form described below.

3. DETERMINING A CONTRIBUTION.

Contribution is the result of doing one's job. Webster defines contribution as *the act of playing a significant part in bringing about an end or result*. If an Employee carries out the duties and responsibilities that have been assigned by the Supervisor, he or she will contribute. Whether or not it will be enough to sustain the current salary and warrant a pay adjustment will come out of the Pay Pool Panel deliberations. But Supervisors who conscientiously assign work within the scope of the Employee's assigned PRD will rarely need to be concerned about Employees receiving at least the annual General Pay Increase (GPI).

To write useful Supervisory Assessment statements, there should be a correlation between an activity and contribution. For example, with the statement, "Sam published three technical journal articles during this assessment period." the implication of contribution itself may not hold when measured against specific organizational objectives. Were Sam's articles on a relevant topic? Did they advance the objectives of the office/division/directorate/PM/PEO?

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

And even if the activity accurately implies contribution, the lack of an explanation makes the statement ambiguous. An outside observer (i.e., Pay Pool Panel Members) may not be able to see the correlation between the activity and contribution. A more complete statement of contribution might be, "This year, Sam published three technical journal articles on <technical subject> which resulted in <some desired advancement in the technology> in direct support of our mission to <specify goal>." Always think in terms of cause and effect when writing contribution statements:

"The Employee did A that resulted in B which is related to the mission..."

When writing contribution statements, constantly apply the "So what?" test. Ask, "Does the activity I am describing have an impact on achieving our purpose? If so, what is the specific impact?" If a Supervisor cannot reasonably answer these questions, then that particular activity may not really represent contribution. Remember that under CCAS, "busy-ness" is not being measured. Results related to the mission are being measured. If the contribution statement leaves you without an answer to the question, "So what?" then the statement probably needs to be clarified as to how the results relate to the mission (or processes/procedures) of the organization.

When determining mission and communicating it to Employees, Supervisors should think about the duties that they require of their Employees and what their work unit is required to accomplish. Unless there is direct involvement with it, the linkage between what an individual does and the activity's mission may not be obvious. But, all jobs exist because managers at every level have determined that there is a mission need to be met. Therefore, when Employees go about their day-to-day duties based on their understanding of what their job is, there is expected to be an inherent link back to the activity's mission. If it ever turns out **not** to be the case, Supervisors must reassess the duties assigned to the Employee.

Finally, there are no "bad" contributions -- all contributions are good. With CCAS, contributions are measured relative to salary level. The objective of the process is to equitably compensate Employees at all levels of contribution.

4. SUPERVISOR'S ASSESSMENT.

The set of descriptors for a particular factor and broadband level are to be taken as a group to decide whether an Employee fits the level. Not often will anyone perfectly match all of the descriptors in the set for a particular level, and it is not necessary to match every descriptor. Instead, Supervisors must ensure that Employees are assigned duties and responsibilities that relate to the factors -- not match them. Then, using the factor descriptors and discriminators, Supervisors can write statements that describe how what the Employee has done relates to the mission.

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

When Supervisors are evaluating Employees under CCAS, they must completely reverse the way performance was evaluated using the Total Army Performance Evaluation System (TAPES). Modify thinking from “WHAT” (the activity) and “HOW” (the level of performance) to “WHY” (the benefit that helps meet the mission) and “WHO” (the customer). The Supervisor’s Assessment is not a laundry list of skills an Employee possesses; nor is it an assessment of potential. Rather, it is a set of statements that indicate what the Employee did and how it helped further the mission of the office/division/directorate/PM/PEO.

Supervisors must be specific when writing contribution statements. Do not leave it to the members of the Pay Pool Panel to presume contribution. For example, stating, “*Employee X published three technical journal articles during this assessment period,*” implies a contribution but does not state one. A more complete statement of contribution might be, “*This year, Employee X published three technical journal articles on <technical subject> which resulted in <some desired advancement in the technology> in direct support of our mission to <specify goal>.*”

It is important to remember that a single work activity may result in contributions that apply to several contribution factors. A contribution in an individual factor is not necessarily represented by a discrete activity; it may be but one facet of the activity. More simply put, a Problem Solving contribution could frequently have aspects to it that could/should be recorded under the factors of Teamwork/Cooperation and Communication. And, contributions to the Teamwork/Cooperation factor can correlate to Leadership/Supervision factor. Simply state how the activity contributed to the mission in relation to the factor(s) under which it is placed.

5. RECOMMENDATIONS FOR EFFECTIVE CONTRIBUTION STATEMENTS.

Many of the Supervisors’ comments on the first CCAS Assessments fell short of the mark in addressing “*The Employee did A that resulted in B which is related to the mission...*” Supervisors were able to address what the Employee did quite nicely, but unfortunately, the assessments stopped there. Other Supervisors listed the skills that an Employee displayed or talked about potential.

While Supervisors are free to do so, it is not necessary to provide long, narrative descriptions of the contributions made during the rating period. It is best to write the assessment in concise bullets, stating what was done, the results achieved, and how those results related to the mission and goals of the organization. When it takes pages and pages of narrative descriptions, the Pay Pool Panel could become overwhelmed and miss what is being conveyed.

To write effective contribution statements, modify thinking from “what” (the activity) and “how” (the level of performance) to “why” (the benefit that helped meet the mission) and “who” (the customer). Remember to think in terms of cause and effect.

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

Be factual and emphasize how the task/action supports the mission.

Be specific; use dollar figures, program names, number of people supervised, time saved, percentages, dollars controlled, etc., where and when appropriate.

Link the task to a system, mission(s), organization, and those who depend on the work that was accomplished.

Be accurate. Was the Employee's contribution made while the team leader or a team member?

Begin bullets with action verbs and a named task, followed by the results achieved, and ending with impact to the mission of the organization.

An activity may warrant mention under more than one factor.

Place the most significant contribution first.

Focus on results and stress mission impact.

Remember to address: *"The Employee did A that resulted in B, then state how it was related to the mission."*

The following examples of effective Supervisor Assessment contribution statements for each of the six factors were taken from actual 1999 CCAS evaluations:

Problem Solving.

- ◆ Established innovative "help desk" procedures to resolve complex communications network problems. Kept networks up during field exercises.
- ◆ Thoroughly analyzed different options for satisfying <program> system requirements and presented well-defined courses of action allowing development efforts to proceed more effectively.
- ◆ Creatively developed the process and approach to manage the multiple program lines and other sources of funding to meet the overall PM goals.

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

Teamwork/Cooperation.

- ◆ Led the senior management team in solving complex organization-wide problems resulting in improved recognition, morale, and effectiveness of the PM and contractor workforce.
- ◆ Able to rally diverse groups to address a common problem resulting in shortened timelines for security accreditations.
- ◆ Integrated his team of software engineers into the product team to form a single cohesive team improving and increasing focus to meet FDD and ACE timeliness.

Customer Relations

- ◆ Negotiated a difficult settlement with the contractor for the <program>, which resulted in the timely and successful completion of the effort.
- ◆ Kept the PM management apprised of financial status via monthly reporting enabling timely decisions to manage critical expenditures.
- ◆ Resolved conflicts between inter-service groups allowing the highly successful <program name> tiger team to provide needed Army input.

Leadership/Supervision.

- ◆ Advised and assisted employees in career planning and training decisions including cross functional development, resulting in an overall improvement of the capability and attitude of the workforce.
- ◆ Created a diverse atmosphere wherein diverse members worked in harmony and provided excellent support of systems engineering, software development, Y2K resolution, and technical insertion.
- ◆ Guides and stimulates innovation and teamwork, contributing to improved development, training, ILS documentation, and logistics support.

Communication.

- ◆ Significantly improved coordination and communication of Army goals that resulted in the successful implementation of critical software initiatives desired by the Army users.

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

- ◆ Written guidance and use of the PEO Knowledge Center contributed to the knowledge base of the workforce, maximizing the efficiency of the organization.
- ◆ Extensive network of contacts contributed to ability to provide efficient service to the organization.

Resource Management.

- ◆ Successfully negotiated favorable cost resolution with the contractor on scope changes to the <program> that resulted in significant cost avoidance.
- ◆ Use of the integrated data environment contributed to the effective and efficient communication of program requirements.
- ◆ Instrumental in development and formulation of the program's budget requirements and responsible for preparing submits and briefings. Current budget meets FDD and III Corps requirements.

The following examples of Supervisor Assessment statements, taken from actual 1999 CCAS evaluations, do not address contributions. Supervisors should not write accomplishment in this manner as none of these statements can answer the "So What?" question; nor do they address how the activity contributed to the mission.

Problem Solving.

- ◆ Highly innovative.
- ◆ Exceptionally well grounded in programmatic logistics requirements.
- ◆ Extremely adept at coordinating, directing, and accomplishing multiple program requirements.

Teamwork/Cooperation.

- ◆ Encourages intra-project management teamwork and cooperation.
- ◆ Provides mentorship and facilitates cooperation across the Army and DOD.
- ◆ Has established a strategic alliance with government/industry senior representatives.

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

Customer Relations.

- ◆ Ensures project fielding teams work closely with tactical users.
- ◆ Leads organizational interaction with field units.
- ◆ Supported in-plant visits of 170 visitors from all services.

Leadership/Supervision.

- ◆ A recognized expert in technical engineering matters.
- ◆ Supervises subordinate managers.
- ◆ Encourages individual development.

Communication.

- ◆ Prepare/review/approve briefings for the PM and represents PM in numerous forums including technical reviews and information briefs.
- ◆ Ensures open exchange of ideas and cooperation throughout the PM office.
- ◆ Regularly briefs HQDA and OSD staff on major programmatic and technical issues and enjoys an exceptional reputation as a result.

Resource Management.

- ◆ Proactive in assuring that the budget and spend plans are synchronized.
- ◆ Organized training and configuration management resources across all PM projects.
- ◆ Manages the project's funds as if they were his own.

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS

6. ACTION WORD LIST.

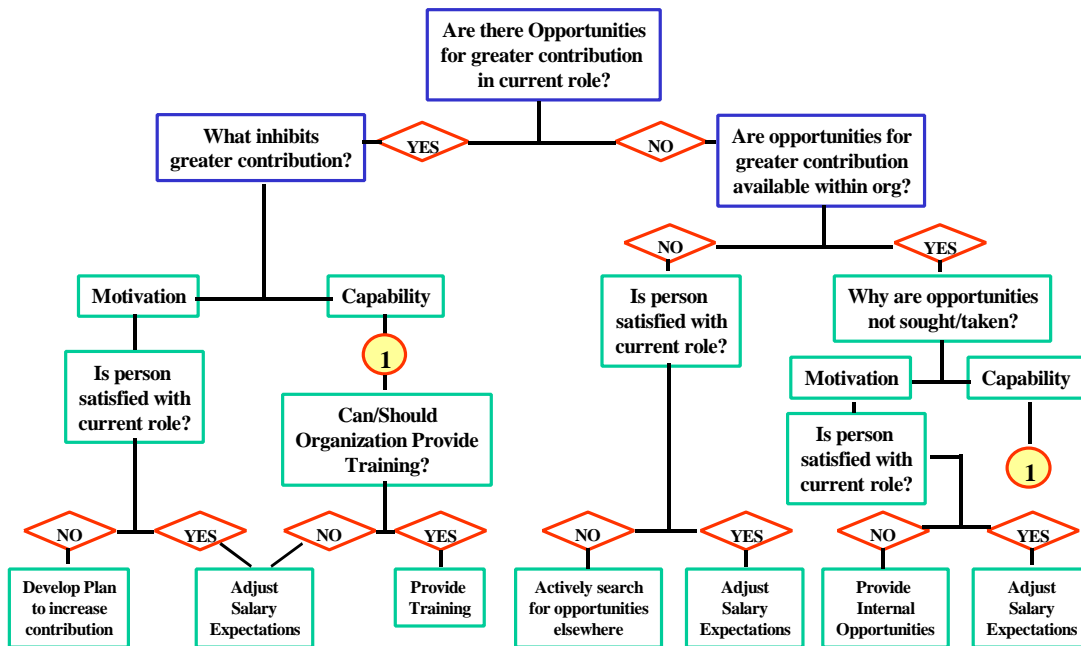
The following list of action words, though not all inclusive, can be used in writing contributions:

Accelerated	Converted	Extracted	Monitored	Reported
Accomplished	Coordinated	Forecasted	Motivated	Researched
Achieved	Corrected	Forged	Negotiated	Resolved
Acquired	Counseled	Formed	Obtained	Reviewed
Activated	Created	Fostered	Operated	Revised
Adapted	Cultivated	Framed	Orchestrated	Revitalized
Administered	Decentralized	Galvanized	Organized	Revolutionized
Advanced	Decreased	Hired	Originated	Saved
Advised	Defined	Implemented	Performed	Scheduled
Advocated	Demonstrated	Improved	Pioneered	Selected
Analyzed	Designed	Increased	Planned	Settled
Anticipated	Determined	Initiated	Prevented	Simplified
Appointed	Developed	Inspected	Processed	Sold
Appraised	Devised	Instigated	Procured	Solidified
Approved	Directed	Instructed	Produced	Solved
Arranged	Discovered	Integrated	Programmed	Spearheaded
Assessed	Displayed	Interpreted	Promoted	Standardized
Audited	Documented	Interviewed	Proved	Stimulated
Augmented	Doubled	Introduced	Provided	Studied
Authored	Edited	Invented	Published	Succeeded
Averted	Employed	Investigated	Purchased	Supervised
Avoided	Enforced	Launched	Recommended	Supported
Brought	Engineered	Led	Recruited	Surveyed
Build	Ensured	Liquidated	Rectified	Systematized
Captured	Established	Localized	Redesigned	Taught
Centralized	Estimated	Located	Reduced	Terminated
Championed	Executed	Maintained	Regulated	Tested
Closed	Exhibited	Managed	Rejected	Tightened
Commanded	Expanded	Marketed	Related	Traded
Conceived	Expedited	Minimized	Renegotiated	Trained
Controlled	Exploited	Modernized	Reorganized	Upgraded

7. OPPORTUNITIES FOR INCREASED CONTRIBUTION.

When trying to determine where there may be opportunities to increase contributions, the following flow chart can be used to advise and counsel Employees:

SUPERVISOR'S GUIDE FOR WRITING CCAS ASSESSMENTS



Broadband Level Descriptors

NH	Problem Solving	Teamwork/Cooperation	Customer Relations	Leadership/Supervision	Communication	Resource Management
I	Assigned Tasks Routine Problems Limited Area of Responsibility	Routine tasks Own area of expertise Assignments	Routine customer requests Team member Interacts with customers on routine issues	Assigned tasks Own functional area Seeks developmental opportunities	Explains status/results of routine/assigned tasks Provides data/written analyses	Uses assigned resources to accomplish tasks Plans individual time and assigned resources to accomplish tasks
II	Project/Program Focus Functional/Technical Adapts plans/techniques Recommends improvements	Project/Program Facilitates cooperative interactions w/others Guides/supports others Proactive	Guides functional efforts of team interacting w/customers Initiates meetings to understand customer needs	Recommends changes/sols Proactively works w/others to accomplish projects Pursues individual/team development opportunities	Communicates results for team/group tasks Writes/contributes to mgt/tech reports Presents informational briefings	Plans/utilizes resources to accomplish proj goals Optimizes resources to accomplish multiple goals
III	Complex Programs/Projects Multiple Disciplines Anticipates Problems Establishes Precedents	Complex programs/projects Innovative approaches Promotes cooperation/teamwork Leads/guides others in team Expertise is sought by peers	Seeks innovative ways to satisfy customers Establishes alliances Anticipates needs Interacts w/customers to develop strategies	Functional expert; Provides guidance to team Resolves Conflict Defines, assigns activities to accomplish program goals Fosters team development	Communicates program results to all levels Reviews/approves reports Provides input to policies Presents briefings to obtain consensus/approval	Plans/allocates resources to accomplish multiple goals Optimizes resources across multiple projects
IV	Organizational focus Generates New Concepts Provides strategic direction Converts strategic goals into programs/policies	Leads/guides/mentors workforce Broad organizational issues Participates on high-level teams Sought for consultation	Leads organizational interactions with customers Assess factors affecting customer needs Stimulate customer alliances at senior levels	Establishes/leads team for complex program Create climate of empowerment Integrates efforts of teams Encourage cross-functional growth to meet org needs	Determines/communicates organizational positions Reviews/approves reports Resolves controversy Conveys strategic vision	Develops, acquires and allocates resources Develops innovative approaches to attain goals and minimize expenditures
Discriminators	Scope/Impact Complexity/Difficulty Independence Creativity	Scope of Team Effort Contribution to Team Effectiveness	Breadth of Influence Customer Needs Customer Interaction Level	Leadership Role Breadth of Influence Mentoring/Employee Development	Level of Interaction (Audience) Written Oral	Scope of Responsibility Planning/Budgeting Execution/Efficiency

Broadband Level Descriptors

NK	Problem Solving	Teamwork/Cooperation	Customer Relations	Leadership/Supervision	Communication	Resource Management
I	<p>Activities/Segment of Task</p> <p>Routine Tasks</p> <p>Select/Implement appropriate procedures</p>	<p>Routine tasks</p> <p>Contributes ideas on routine problems</p> <p>Regularly completes tasks</p>	<p>Assists w/routine customer support requests/activities</p> <p>Interacts with customers on routine issues</p>	<p>Assigned tasks</p> <p>Own admin/functional area</p> <p>Seeks developmental opportunities</p>	<p>Communicates routine task/status results</p> <p>Writes timely/accurate draft documentation; explains status of tasks</p>	<p>Uses assigned resources to accomplish tasks</p> <p>Plans individual time and assigned resources to accomplish tasks</p>
II	<p>Admin activities for projects</p> <p>Develop/modify/apply rules or procedures</p> <p>Resolves problems; adapts in order to handle deviations</p>	<p>Works with others to accomplish tasks</p> <p>Resolves admin problems; facilitates cooperation</p> <p>Guides others; proactive</p>	<p>Guides admin efforts of individuals/team members</p> <p>Independently interacts with customers to understand needs and communicate info</p>	<p>Contributes as team member</p> <p>Proactively works w/others to accomplish projects</p> <p>Pursues individual/team development opportunities</p>	<p>Communicates admin procedure/task both in and outside organization</p> <p>Prepares, coordinates and consolidates documents</p>	<p>Plans/utilizes resources to accomplish proj goals</p> <p>Accomplishes projects within established resource constraints</p>
III	<p>Plans/conducts complex admin activities</p> <p>Develops rules for complex organizational tasks</p> <p>Initiates action to resolve issues/conflict</p>	<p>Complex issues/across functional areas</p> <p>Applies expertise to complex admin issues; promotes cooperation</p> <p>Lead/guides the formulation and execution of plans</p>	<p>Identifies, defines, guides admin efforts supporting customer interactions</p> <p>Establishes customer alliances</p> <p>Works independently with customers to define/resolve non-routine issues</p>	<p>Provides guidance to individuals and teams; expertise solicited by others</p> <p>Guides/accounts for activities of individual/teams</p> <p>Promotes individual/team development; leads programs</p>	<p>Explains/communicates admin/functional procedures at all levels - both in and out of the organization</p> <p>Prepares, reviews, approves documents/reports/etc</p>	<p>Plans, acquires, allocates resources to accomplish objectives</p> <p>Coordinates resources across projects</p> <p>Optimizes resources</p>
Discriminators	<p>Scope/Impact</p> <p>Complexity/Difficulty</p> <p>Independence</p> <p>Creativity</p>	<p>Scope of Team Effort</p> <p>Contribution to Team</p> <p>Effectiveness</p>	<p>Breadth of Influence</p> <p>Customer Needs</p> <p>Customer Interaction Level</p>	<p>Leadership Role</p> <p>Breadth of Influence</p> <p>Mentoring/Employee Development</p>	<p>Level of Interaction (Audience) Written</p> <p>Oral</p>	<p>Scope of Responsibility</p> <p>Planning/Budgeting</p> <p>Execution/Efficiency</p>